

**U.S. DEPARTMENT OF EDUCATION  
Washington, DC**



**Fiscal Year 2017**

**Application Package to Request  
Designation as an Eligible Institution  
Under the Following Title III and Title V Programs:**

- Strengthening Institutions Program (SIP)
- Alaska Native and Native Hawaiian-Serving Institutions (ANNH) Program
- Native American-Serving Nontribal Institutions (NASNTI) Program
- Developing Hispanic-Serving Institutions (HSI) Program
- Hispanic-Serving Institutions STEM and Articulation (HSI STEM) Program
- Promoting Post-Baccalaureate Opportunities for Hispanic Americans (PPOHA) Program
- Asian American and Native American Pacific Islander-Serving (AANAPISI) Program
- Predominantly Black Institutions (PBI) Program
- Waiver of the Non-Federal Cost-Share Requirement

**CLOSING DATE:**

**January 9, 2017 for Eligibility Designation  
and  
Non-Federal Cost-Share Waiver**

**CFDA Number: 84.031H  
OMB Number: 1840-0103, ED Form 1049**

**Expires: 02/28/2017**

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Dear Applicant:

We are pleased to provide the application package for fiscal year (FY) 2017 Designation as an Eligible Institution (eligible) under the following Title III and Title V programs of the Higher Education Act of 1965, as amended.

- STRENGTHENING INSTITUTIONS PROGRAM (SIP)
- ALASKA NATIVE AND NATIVE HAWAIIAN-SERVING INSTITUTIONS (ANNH) PROGRAM
- NATIVE AMERICAN-SERVING NONTRIBAL INSTITUTIONS (NASNTI) PROGRAM
- DEVELOPING HISPANIC-SERVING INSTITUTIONS (HSI) PROGRAM
- HISPANIC-SERVING INSTITUTIONS STEM and ARTICULATION (HSI STEM) PROGRAM
- PROMOTING POSTBACCALAUREATE OPPORTUNITIES FOR HISPANIC AMERICANS (PPOHA) PROGRAM
- ASIAN AMERICAN AND NATIVE AMERICAN PACIFIC ISLANDER-SERVING INSTITUTIONS (AANAPISI) PROGRAM
- PREDOMINANTLY BLACK INSTITUTIONS (PBI) PROGRAM

The purpose of the Title III and V programs is to provide funds to eligible institutions of higher education to increase their self-sufficiency by improving their academic programs, institutional management, and fiscal stability.

Beginning December 1, 2016, an institution of higher education (IHE) will be able to review its eligibility for grants under the above programs directly by examining its entry in the Eligibility Matrix (EM). The EM is a list of all potentially eligible postsecondary institutions. Based on data submitted by the institutions to the Integrated Postsecondary Education Data System (IPEDS) for the 2014-2015 academic year, the Department will use enrollment and fiscal data to compute an eligibility determination for grant applications in FY 2017. You will be able to check your eligibility in the EM before you begin an application. If the EM shows your institution meets the requirements, you will not have to complete an application and you may print out the eligibility letter directly. Instructions for checking the EM are provided below.

Eligibility designation qualifies an institution of higher education (IHE) to apply for grants under one or more of the above Title III and Title V programs, provided the institution meets certain additional program-specific eligibility requirements.

If your IHE has been determined to require a waiver, or if you choose to provide alternate data to substantiate a claim of eligibility, you will be able to enter an application to apply for the waiver option appropriate to your institution.

In addition, this application package may be used by IHEs to apply for a waiver of certain non-Federal cost-share requirements under the following programs:

- FEDERAL WORK-STUDY (FWS) PROGRAM
- FEDERAL SUPPLEMENTAL EDUCATIONAL OPPORTUNITY GRANTS (FSEOG) PROGRAM
- TRIO STUDENT SUPPORT SERVICES (SSS) PROGRAM
- UNDERGRADUATE INTERNATIONAL STUDIES AND FOREIGN LANGUAGE (UISFL) PROGRAM

Branch campuses are not included in the EM. If your institution only grants degrees in vocational-religious areas or programs, your institution is not eligible for Title III or Title V grants but may be eligible to apply for a waiver of certain non-Federal cost-share requirements. If your institution's status has recently changed, please contact Jason Cottrell at 202-453-7530 or [jason.cottrell@ed.gov](mailto:jason.cottrell@ed.gov).

Read this package in its entirety before you begin to complete the application. It is essential that you provide sufficient responses to all applicable questions and enter the correct data throughout the application.

- All institutions interested in applying for a new FY 2017 Title III or Title V grant and/or the non-Federal Cost-Share Waiver **MUST** have provided required data into the Integrated Postsecondary Education Data System (IPEDS) database for the academic year 2014-2015.
- The determination of your institution's low-income levels will be determined by data provided by the Federal Student Aid database. The term "low income individual" means an individual from a family whose taxable income for the preceding year did not exceed 150 percent of an amount equal to the poverty level established by the U.S. Census Bureau.
- Your institution must be designated as an eligible institution each year that you wish to apply for a new grant award even if Title III or Title V grants, in subsequent fiscal years, are made by funding down a slate from a previous competition.
- IHEs currently receiving Title III or Title V funds do not need to have a designation of eligibility unless they intend to apply for a new grant. IHEs designated as Historically Black Colleges and Universities or Tribally Controlled

Colleges and Universities are exempt from the non-Federal cost-share match requirement and do not need to apply for eligibility designation.

- Only the main institution may receive the waiver of the non-Federal cost-share requirements for FWS and FSEOG. Branch campuses are ineligible to receive this waiver. The waiver is effective for one year. If you have questions, contact 1-877-801-7168 or [CBFOB@ed.gov](mailto:CBFOB@ed.gov).
- If you are a current Title III or Title V grant recipient or are awarded a Title III or Title V grant, the non-Federal cost-sharing is waived for FWS and FSEOG for the duration of the grant.
- If you receive a grant from the UISFL or SSS program, you may receive a waiver or reduction of the required non-Federal share for institutions for the duration of the grant.

All applications for a waiver must be submitted electronically. The deadline is **January, 9, 2017**.

Once you establish your institution's eligibility, you should print a copy of the eligibility certification for your records.

If you need further assistance, contact us at the telephone numbers or e-mail addresses cited in this application package.

Sincerely,

/s/

Ralph Hines  
Senior Director  
Institutional Service

## **ELIGIBILITY HIGHLIGHTS**

- Notify Christopher Smith or Jason Cottrell if your institution's legal name has changed. This **MUST** be done in writing prior to receiving eligibility designation. The eligibility staff's contact information can be found on pg. 5.
- You must submit data into the IPEDS and FSA database in your institution's legal name. If you are planning to submit an application for new funding, the eligibility determination letter **and** the application for funding **MUST** be in the same name or your application for funding will be rejected.
- To check your institution's eligibility in the EM, go the website, <http://opeweb.ed.gov/title3and5/>. Click the "Application for Designation as an Eligible Institution" link. Then click the "Check Eligibility" link.
- You may search for your institution by OPE ID, IPEDS Unit ID, or institution name. Enter one of these items and then click the Search button.
- Your institution information will display. Click the "View Eligibility" link. Your institution's eligibility information will display.
- If your institution meets the needy student and core expenses requirements, you will be able to view and print your letter by clicking the "View or Print Eligibility Letter" link. You do **not** need to complete an application. The Title III and V programs for which your institution is eligible to apply are listed at the bottom of the page.
- If your institution does not meet the needy student and core expenses requirements, you will be able to enter an application and apply for a waiver. Click the "Return to the Login Page and Begin an Application" button. The Title III and V programs for which your institution is potentially eligible to apply if the waiver is approved are listed at the bottom of the page.
- You will need your institution's unique 8-digit identifier, referred to as the Office of Postsecondary Education Identification (OPE ID) number, in order to apply for a waiver.
- It is the applicant's responsibility to upload **ALL** supporting documentation at the time of submission.
- You are responsible for verifying the accuracy and completeness of the data you submit. We are unable to notify institutions of errors or missing data.
- You must click **SUBMIT** to officially upload your application.

- Eligible institutions may view and print their letters upon submission. Institutions which applied for a waiver, may view their letter after the date displayed on the submission confirmation page.
- The Department will not mail letters to applicants.
- Applications must be submitted by 11:59 p.m. Eastern time on the closing date for waivers, January 9, 2017, with all supporting documentation.

## **BEFORE YOU GET STARTED**

Read this entire application package, and collect the required data before you attempt to complete the waiver application online. This waiver application may be obtained using the “eligibility” link at the following Web site:

<http://opeweb.ed.gov/title3and5/>

For any questions regarding the Eligibility application, you may contact the individuals listed below:

[Christopher.Smith@ed.gov](mailto:Christopher.Smith@ed.gov) or 202-453-7946

[Jason.Cottrell@ed.gov](mailto:Jason.Cottrell@ed.gov) or 202-453-7530

Throughout this application package we refer to certain sections of program regulations. In the event that you wish to reference the regulations governing the Title III and Title V programs, you may do so at the following Web site:

<http://www.ed.gov/legislation/FedRegister/finrule/2001-4/121599a.html>

Only individual accredited institutions, including eligible branch campuses, may apply for a waiver. The regulations at 34 CFR Part 606.2(a)(6) and 607.2(a)(4) outline the accreditation requirements. A higher education system, foundation or district may not apply on behalf of individual institutions.

Only submit data pertinent to your individual institution. Do not include data that is reported as part of a single filing by a higher education system or district.



### **Designation As An Eligible Branch Campus**

To be designated as an eligible branch campus, the branch campus must meet the needy student enrollment requirement, the Core Expenses requirement, and the definition of a branch campus. The regulations at 34 CFR Part 606.7(b) and 34 CFR Part 607.7(e) define “branch campus” as a unit of a college or university that is geographically apart from the main campus and independent of that main campus. We consider a unit of a college or university to be independent of the main campus if the unit is permanent in nature; offers courses for credit and programs leading to an associate or bachelor’s degree; is autonomous to the extent that it has its own faculty and administrative or supervisory organization; and its own budgetary and hiring authority. If your institution is applying for eligibility as a branch campus, provide the eligibility data pertinent to the branch campus.

All waiver narratives must be submitted electronically by **January 9, 2017** at:

<http://opeweb.ed.gov/title3and5/>

**IMPORTANT NOTE:** Before submitting your eligibility waiver application electronically, double check for accuracy and print a copy for yourself. When you press the submit button, the system will display a message confirming that you have successfully submitted your application. Save and print this confirmation as proof that you have submitted your application electronically. If you do not receive this confirmation, you should assume that we did not receive your application. Please contact Christopher Smith or Jason Cottrell (see page 6 for contact information).

**Do not wait until the due date to submit your waiver application.**

# **INSTRUCTIONS FOR COMPLETING THE WAIVER APPLICATION (ED Form 1049)**

## **(ELECTRONIC SUBMISSION REQUIRED)**

The eligibility requirements for the programs authorized under Part A of Title III of the HEA are in Sections 312 and 317-320 of the HEA (20 U.S.C. 1058, 1059d-1059g) and in the Department's implementing regulations at 34 CFR 607.2 through 607.5. The regulations may be accessed at: [www.gpo.gov/fdsys/pkg/CFR-2001-title34-vol3/xml/CFR-2001-title34-vol3-part607.xml](http://www.gpo.gov/fdsys/pkg/CFR-2001-title34-vol3/xml/CFR-2001-title34-vol3-part607.xml).

The eligibility requirements for the programs authorized by Part F of Title III of the HEA are in Section 371 of the HEA (20 U.S.C. 1067q). We are developing regulations for these programs; there are currently no specific program regulations.

If the EM shows your institution to be eligible to apply for a grant for a particular program, you may print out the eligibility certification directly. No more action is needed.

## **PART I – IDENTITY OF APPLICANT INSTITUTION**

### **ITEM 1. INSTITUTION/CAMPUS OPE ID NUMBER**

You will need your institution's unique 8-digit identifier, referred to as the Office of Postsecondary Education Identification (OPE ID) number, to complete a valid eligibility waiver application form.

### **ITEMS 2 THROUGH 6.**

Self-explanatory.

### **ITEM 7. DATA UNIVERSAL NUMBERING SYSTEM (DUNS) NUMBER**

**Enter your institution's DUNS number in the spaces provided.**

**DUNS Number:** Dun and Bradstreet assign your institution's 9-digit DUNS number. Your business office will likely know your institution's DUNS number. If not, you can obtain it at no charge by calling 1-800-333-0505 or by completing a DUNS Number Request Form. You may obtain the form at:

<http://www.dnb.com>

## **ITEM 8. TYPE OF INSTITUTION**

Enter your institution's type: **Identify the institution as either a two-year or four-year IHE.**

If your institution recently changed its status from two-year to four-year, identify the institution as four-year.

If the institution offers both undergraduate and graduate education, identify it as a four-year institution.

## **ITEM 9. CONTROL OF INSTITUTION**

Identify the institution as either a private nonprofit institution or a public institution.

## **PART II - INSTITUTIONAL ENROLLMENT**

### **ITEM 1. TOTAL INSTITUTIONAL ENROLLMENT (Fall 2014 Head Count)**

Determine the institution's **2014 fall semester** head count of enrolled undergraduate and graduate students.

Do not include foreign students who are not eligible to participate in Title IV need-based financial assistance programs.

Enter this number in the space provided.

### **ITEM 2. TOTAL MINORITY ENROLLMENT (Fall 2014 Head Count)**

Determine the institution's **2014 fall semester** head count of enrolled minority undergraduate and graduate students.

Do not include foreign students who are not eligible to participate in Title IV need-based financial assistance programs.

The regulations at 34 CFR Part 606.7(b) and Part 607.7(e) define minority student as a student who is Alaskan Native, American Indian, Black (African-American), Hispanic American, Native Hawaiian, or Pacific Islander.

Enter this number in the space provided.

## **PART III - INSTITUTIONAL STATISTICS**

### **ITEM 1. NEEDY STUDENT REQUIREMENT**

#### **ITEM 1.A. FALL 2014 HEAD COUNT ENROLLMENT OF UNDERGRADUATE AND GRADUATE DEGREE STUDENTS**

Determine the institution's total **2014 fall semester** head count of undergraduate and graduate students who were enrolled in a **degree** program. The regulations at 34 CFR Part 606.7(b) and at 34 CFR Part 607.7(e) define “degree student” as a student who enrolls at an institution for the purpose of obtaining a degree, certificate or other recognized educational credential offered by that institution. We consider the transcript that a student receives for the successful completion of a two-year transfer program to be an “other recognized educational credential.”

Do not include foreign students who are not eligible to participate in Title IV need-based assistance programs.

Determine the undergraduate student head count by including all undergraduate students who were enrolled in a program that resulted in the award of a bachelor’s degree. Include those enrolled in a two-year transfer program and those enrolled in a two-year educational program that resulted in the award of an associate degree. Include those enrolled in a vocational or technical program of at least two years in length that resulted in the award of a certificate that testifies that the student qualifies to work as a technician or at the semiprofessional level in technological fields.

Enter the total in the space provided under Part III, Item 1.A.

#### **ITEM 1.B. FALL 2014 RECIPIENTS OF TITLE IV NEED-BASED FINANCIAL ASSISTANCE**

Determine the institution's total **2014 fall semester unduplicated** student head count of degree students who received any of the following Title IV need-based assistance: **Federal Pell Grant, Federal Work Study, Federal Perkins Loan or Federal Supplemental Educational Opportunity Grant.** To compute the unduplicated student head count, count each student who received Title IV need-based assistance, regardless of the number of need-based programs in which the student participated. **If a student participates in multiple need-based programs, that student is to be counted only once.**

Enter the total in the space provided under item Part III, Item 1.B.

**ITEM 1.C. FALL 2014 ENROLLMENT OF HALF TIME, UP TO AND INCLUDING FULL-TIME, UNDERGRADUATE STUDENTS**

Determine the institution's total **2014 fall semester** undergraduate head count of students who were enrolled at least **half time** in degree programs at your institution.

Do not include foreign students who are not eligible for Title IV need-based financial assistance.

Enter the total in the space provided under Part III, Item 1.C.

**ITEM 1.D. FALL 2014 PELL GRANT RECIPIENTS ONLY**

Determine your institution's total **2014 fall semester** undergraduate head count of students who received **Pell Grants** for the **2014-2015** academic term. Include Pell Grant recipients who were enrolled in a program on at least a half-time basis.

Enter the total undergraduate head count of Pell Grant recipients in the space provided under Part III, Item 1.D.

**ITEM 2. CORE EXPENSES REQUIREMENT (FORMERLY KNOWN AS EDUCATIONAL AND GENERAL (E&G) EXPENDITURES REQUIREMENT)**

Use the following instructions to complete items 2.A through 2.D.

**ITEM 2.A. UNDERGRADUATE FULL-TIME EQUIVALENT, FALL 2014 ENROLLMENT**

Determine your institution's full-time equivalent (FTE) **2014 fall semester** enrollment of undergraduate students. The regulations at 34 CFR Part 606.7(b) and 34 CFR Part 607.7(e) describe how to calculate your FTE enrollment and the instructions below paraphrase those regulations.

Based on the full-time load at your institution, count a full-time undergraduate student as one FTE.

Determine the FTE for part-time undergraduate students by entering the total number of credit hours of all part-time undergraduate students. The total will automatically be divided by 12. The result is the FTE for part-time undergraduate students.

The system will then add the total (full-time AND part-time) undergraduate students. The result is the total number of undergraduate FTE for **FY 2014** enrollment.

**NOTE: This number should not exceed the total institutional enrollment entered under Part II, Item 1.**

## **ITEM 2.B. GRADUATE FULL-TIME EQUIVALENT 2014 FALL ENROLLMENT**

Determine the institution's FTE **2014 fall semester** enrollment of graduate students, if any, including both full-time and part-time students, as explained here.

Based on the full-time load at your institution, count a full-time graduate student as one FTE.

Determine the FTE for part-time graduate students by entering the total number of credit hours of all part-time graduate students. That number will automatically be divided by 12. The result is the FTE for part-time graduate students.

Calculate the total graduate FTE by adding the FTE of full-time graduate students to the FTE of part-time graduate students, then **multiply** this total by a factor of 2.5. This final figure is the graduate FTE. The use of the 2.5 factor is required by the Department's regulations at 34 CFR 606.4(a) (2) and 607.4(a) (2) to account for higher educational and general expenditures for graduate versus undergraduate students.

The system will then add the total (full-time plus part-time) graduate students. The result is the total number of graduate FTE for **FY 2014** enrollment.

## **ITEM 2.C. TOTAL CORE EXPENSES**

Determine the institution's Core Expenses for **2014-2015**. Core Expenses are defined as the total expenses for the essential education activities of the institution. Core Expenses for public institutions reporting under the Governmental Accounting Standards Board (GASB) standards include expenses for instruction, research, public service, academic support, student services, institutional support, operation and maintenance of plant, depreciation, scholarships and fellowships, interest and other operating and non-operating expenses. Core Expenses for institutions reporting under the Financial Accounting Standards Board (FASB) standards (primarily private, not-for-profit and for-profit) include expenses for instruction, research, public service, academic support, student services, institutional support, net grant aid to students, and other expenses. For both FASB and GASB institutions, core expenses exclude expenses for auxiliary enterprises (e.g., bookstores, dormitories), hospitals, and independent operations. (<http://nces.ed.gov/ipeds/glossary/?charindex=C>).

**Do not include Federal student financial aid.**

Enter the total **2014-2015** Core Expenses in the space provided under Part III, Item 2.C.

## **ITEM 2.D. AVERAGE CORE EXPENSES PER FTE STUDENT**

The system will calculate the institution's average Core Expenses per FTE for **2014-2015**.

## **PART IV. SPECIFIC INSTITUTIONAL ELIGIBILITY REQUIREMENTS**

### **ITEM 1. NEEDY STUDENT REQUIREMENTS**

Use the following calculations to determine whether your institution meets the needy student requirement in at least one of two possible ways.

YOUR INSTITUTION MEETS THE NEEDY STUDENT REQUIREMENT IF:

A. At least 50% of its **2014** fall semester, unduplicated student head count of undergraduate degree students received financial assistance under one or more of the following programs: Federal Pell Grant, Federal College Work-Study, Federal Perkins Loan or Federal Supplemental Educational Opportunity Grant Programs (Part III, 1B).

Or

B. The percentage of its **2014** fall semester, undergraduate degree students who were enrolled on at least a half-time basis and received Federal Pell Grants exceeded the median percentage of undergraduate degree students who were enrolled on at least a half-time basis and received Federal Pell Grants at comparable institutions that offered similar instruction (Part III, 1D).

### **ITEM 1. A. AT LEAST 50% OR MORE OF FALL 2014 DEGREE STUDENTS WERE RECIPIENTS OF NEED-BASED FINANCIAL SUPPORT**

If your institution **meets** the needy student requirement because **50 percent or more** of its **2014** fall semester enrolled degree students received the above-mentioned Title IV need-based financial assistance, select Part IV, Item 1.A. **If the percentage turns out to be less than 50%, DO NOT select Part IV, Item 1.A.**



### **EXAMPLE: Needy Student Calculation**

To determine whether your institution meets the statutory needy student requirement for **2014-2015**, divide the number of **2014** fall semester, Title IV recipients (Part III, Item 1.B) by the **2014** fall semester enrollment of degree students (Part III, Item 1.A). The result (Part III, 1.B., divided by Part III, 1.A) is the percentage of needy students enrolled in the institution for the base year. If the result is 50 percent or more, your institution meets the statutory needy student requirement threshold. The regulations at 34 CFR Part 606.3(a)(1) and at 34 CFR Part 607.3(a)(1) describe the needy student requirement.

#### **Example**

**2014** fall semester enrollment (Part III, 1.A) = 800 degree students

**2014** fall semester Title IV recipients (Part III, 1.B) = 600 students

Percentage of recipients of need-based financial support  
= 75% (600 divided by 800)

The example institution meets the needy student requirement because 50 percent or more of its **2014** fall semester degree students received need-based financial support.

### **ITEM 1.B. THE PERCENTAGE OF FEDERAL PELL GRANT RECIPIENTS AT THE APPLICANT INSTITUTION EXCEEDED THE MEDIAN PERCENTAGE AT SIMILAR INSTITUTIONS.**

If your institution **meets** the statutory needy student requirement because the percentage of its **2014** fall semester enrolled students that received Pell Grants exceeded the median Federal Pell Grant percentage for its category of institutions (see below), **check Part IV, Item 1.B.** If your percentage **does not exceed** the median Federal Pell Grant percentage for your category of institutions, **do not check Part IV, Item 1.B.**

**If the institution meets both Part IV, Items 1.A and 1.B, select Part IV, Item 1.A only.**

## Needy Student Calculation

To determine if your institution meets the statutory needy student requirement for **2014**, divide the number of **2014** fall semester Pell Grant recipients (Part III Item 1.D) by the **2014** fall semester enrollment of half-time up to and including full-time degree seeking students (Part III Item 1.C). The result (Part III, 1.D, divided by Part III, 1.C) is the percentage of Pell Grant recipients enrolled in the institution for the base year. If this result **exceeds** the "Median Federal Pell Grant Percentage" for your category of institutions, your institution meets the statutory needy student requirement threshold.

### Example

**2014** fall semester enrollment of half-time to full-time degree students

(Part III, 1.C) = 1000

**2014** fall semester Pell Grant recipients (Part III, 1.D) = 500

**2014** Pell Grant percentage = 50% (500 divided by 1000)

**Here are the median Federal Pell Grant percentages or thresholds for base year 2014-2015:**

For two-year public institutions, the median = **41%**

For two-year non-profit private institutions, the median = **59%**

For four-year public institutions, the median = **39%**

For four-year non-profit private institutions, the median = **41%**

Since in our example, the institution's Pell Grant percentage is greater than the median Pell Grant percentage for any category of institution, the example institution meets the needy student requirement.

## ITEM 1.C. REQUESTING A WAIVER OF THE NEEDY STUDENT REQUIREMENT

If the institution **does not meet** the statutory needy student requirement, you may request a waiver of this requirement. **Review the six possible waiver options below.** These options correspond to the six options listed in the regulations at 34 CFR Part 606.3(b) and 34 CFR Part 607.3(b).

Select Part IV, Item 1.C, denoting that you are requesting a waiver.

After you review the six possible waiver options for the needy student requirement, select the option(s) that applies to your institution's particular situation. You may apply for more than one option.

**Prepare a separate narrative for each waiver option(s). Provide the required evidence for the chosen waiver option(s) and demonstrate that the waiver(s) applies to your particular institution. The narrative must contain compelling evidence. Mere statements of fact may not be enough to support your request. Provide supporting documentation (relevant studies, recent reports and/or data, etc.) to justify your request for a waiver. You may also upload supporting documentation when addressing the waiver(s).**

**You must respond to all components of the waiver option and provide supporting documentation (relevant studies, recent reports and/or data, etc.) to justify your request for a waiver.**

**Needy Student Waiver Option #1, 34 CFR 606.3(b)(1) and 607.3(b)(1)**

Provide evidence that the state provided **more than 30 percent** of your institution's budget for the 2014-2015 base year.

Provide evidence that your institution charged not more than \$99.00 per student for tuition and fees for the 2014-2015 base year.

1. Identify the resources provided by the state, citing specific dollar amounts
2. Show actual tuition and fees charged per student
3. Provide the institution's posted tuition and fees.

**Needy Student Waiver Option #2, 34 CFR 606.3(b)(2) and 607.3(b)(2)**

Provide evidence that **at least 30 percent** of the students served by your institution in the **2014-2015** base year **were students from low-income families.**

The regulations at 34 CFR Part 606.7(c) and 34 CFR 607.7(e) define a low-income individual to be one from a family whose taxable income for the base year did not exceed 150% of an amount equal to the poverty level as determined by the U.S. Census Bureau. In the Federal Register Closing Date Notice, we stated the low-income figures for **2014**.

Provide evidence (statistical and whole numbers baseline data) that verifies your claim that at least 30 percent of your enrolled students were from low-income families.

**Needy Student Waiver Option #3, 34 CFR 606.3(b)(3) and 607.3(b)(3)**

Provide evidence that your institution, in the base year, **substantially increased the higher education opportunities for low-income students who were also educationally disadvantaged, or from groups underrepresented in postsecondary education, or were minority students.**

The program regulations at 34 CFR 606.7(b) and 607.7(e) define "*educationally disadvantaged*," "*minority student*" and "*underrepresented*."

Include the following information:

1. A description of the student body characteristics, including the racial/ethnic composition and the number of low-income students, for the **2014-2015** base year.
2. The number of low-income students for the **2014-2015** base year that were also educationally disadvantaged, from groups underrepresented in postsecondary education, or minority students.
3. A description of the programs and services in place during the **2014-2015** base year that were specifically designed to increase the educational opportunities for the low income students who were also educationally disadvantaged, from groups underrepresented in higher education, or minority students.
4. A longitudinal progression detailing the number of these students served by the institution's programs and services during the past five academic periods: **2009-2010, 2010-2011, 2011-2012, 2012-2014 and 2014-2015.**

**Needy Student Waiver Option #4, 34 CFR 606.3(b)(4) and 607.3(b)(4)**

Provide evidence that your institution substantially increased the higher education opportunities in the **2014-2015** base year **for individuals who resided in an area that is not included in a "metropolitan statistical area" (MSA)** as defined by the Office of Management and Budget and who were underserved by other postsecondary institutions.

Include the following information:

1. The geographical areas of residence for enrolled students in the **2014-2015** base year including:
  - a. The percentage of enrolled students from MSA.
  - b. The percentage of enrolled students from locations outside MSAs.
2. In the supporting documents section, please upload a map or scale drawing showing the geographically isolated or rural nature of your institution's location including:
  - a. The institution's geographic relationship to the nearest other institution(s) of higher education and nearest MSA.
  - b. The mileage between the institution and other institutions.
  - c. The mileage between the institution and the nearest MSA.
3. A description of the geographic barriers and climatic and other conditions that limit the options of individuals to attend other institutions.

4. A brief longitudinal progression detailing the number of enrolled students served by the applicant institution during the past five academic periods: **2009-2010, 2010-2011, 2011-2012, 2012-2014 and 2014-2015** who resided in areas outside the boundaries of an MSA.

**Needy Student Waiver Option #5, 34 CFR 607.3(b)(5)**

Provide evidence that your institution is located on or within 50 miles of an American Indian reservation or of a substantial population of American Indians, and that the institution will substantially increase higher education opportunities for American Indians.

When addressing "higher education opportunities for American Indians;" include both student enrollment and retention.

Include the following information:

1. A map or scale drawing showing your institution's location in relation to the American Indian reservation or population center.
  - a. Include the mileage between the institution and the reservation or population center.
2. A description of the student body characteristics for the **2014-2015** base year and the two academic years following the base year (**2014-2015** and **2015-2016**).
  - a. Include the racial/ethnic composition and specifically identify the number and percentage of American Indian students by full-time and part-time status.
3. Describe the programs and services in place during the **2014-2015** base year and the two academic years following the base year (**2014-2015** and **2015-2016**) that were specifically designed to increase the higher educational opportunities for American Indians.
4. Describe your institution's plans to develop and implement programs and services specifically designed to increase the higher educational opportunities for American Indians.
5. Describe the institution's enrollment goals for American Indian students for these academic years (2014-2015 and 2015-2016).
  - a. Provide a detailed explanation of the institution's plans to meet these goals.

**Needy Student Waiver Option #6, 34 CFR 607.3(b)(7):**

Provide evidence that your institution will substantially increase higher education opportunities for Black or African Americans, Hispanic Americans, Native Americans, Asian Americans or Pacific Islanders, including Native Hawaiians.

Or

Provide evidence that your institution will substantially increase higher educational opportunities for Hispanic Americans (34 CFR 606.3 (b) (5)).

When addressing "higher education opportunities" include both student enrollment and retention.

Include the following information:

1. A description of the student body characteristics for the **2014-2015** base year and the two academic years following the base year (**2014-2015** and **2015-2016**). Include the racial/ethnic composition and specifically identify the number and the percentage for each racial/ethnic group listed above by full-time and part-time status.
2. Describe the programs and services in place during the **2014-2015** base year and the two academic years following the base year (**2014-2015** and **2015-2016**) that were specifically designed to increase the higher educational opportunities for one or more of the racial/ethnic groups listed above.
3. Describe the programs and services your institution is currently developing that are specifically designed to increase the higher educational opportunities for one or more of the racial/ethnic groups listed above. Include the projected date(s) for the implementation of these programs and services.
4. Describe your institution's enrollment goals for one or more of the racial/ethnic groups listed above for these academic years (**2014-2015** and **2015-2016**).
  - a. Provide a detailed explanation of the institution's plans to meet these goals.

## **PART IV, ITEM 2. CORE EXPENSES REQUIREMENT**

Your institution meets the Core Expenses requirement if its average Core Expenses per FTE student cited in Part III, Item 2.D, is less than the average Core Expenses per FTE for the same category of institution. **The average 2014-2015 Core Expenses per FTE student for each category of institution is the following:**

<b>Two-year public institution</b>	<b>=</b>	<b>\$ 11,768</b>	<b>per FTE student</b>
<b>Two-year non-profit private</b>	<b>=</b>	<b>\$ 16,169</b>	<b>per FTE student</b>
<b>Four-year public institution</b>	<b>=</b>	<b>\$ 28,501</b>	<b>per FTE student</b>
<b>Four-year non-profit private</b>	<b>=</b>	<b>\$ 35,543</b>	<b>per FTE student</b>

### **PART IV, ITEM 2.A**

Check Item 2.A only if your institution's **2014-2015** average Core Expenses per FTE are less than the average Core Expenses per FTE student for its category of institution.

### **PART IV, ITEM 2.B**

If the institution does not meet the Core Expenses threshold, you may request a waiver of this requirement. Review the five possible waiver options below. These options correspond to the five options listed in the regulations at 34 CFR Part 606.4(d) and 34 CFR Part 607.4(d).

Select Item 2.B if your institution exceeded the Core Expenses threshold and you are requesting a waiver.

After you review the five possible waiver options for the needy student requirement, select the option(s) that applies to your institution's particular situation. You may apply for more than one option.

**Prepare a separate narrative for each waiver option(s). Provide the required evidence for the chosen waiver option(s) and demonstrate that the waiver(s) applies to your particular institution. The narrative must contain compelling evidence. Mere statements of fact may not be enough to support your request. Provide supporting documentation (relevant studies, recent reports and/or data, etc.) to justify your request for a waiver. You may also upload supporting documentation when addressing the waiver(s).**

**You must respond to all component of the waiver option and provide supporting documentation (relevant studies, recent reports and/or data, etc.) to justify your request for a waiver.**

### **Core Expenses Waiver Option #1, 34 CFR 606.4(d)(1) and 607.4(d)(1)**

**Low student enrollment** in the Fall **2014** distorted your institution's Core Expenses per FTE undergraduate student and the institution's eligible designation is otherwise consistent with the purposes of the Title III or Title V program.

Provide detailed evidence to support your claim that low student enrollment in 2014 distorted your Core Expenses.

- a. Show that enrollments in the years prior to and after 2014 were greater, citing specific numbers.
- b. Include comparisons with similar IHEs.

### **Core Expenses Waiver Option #2, 34 CFR 606.4(d)(2) and 607.4(d)(2)**

Location of the institution in **an unusually high cost-of-living area** distorted your institution's Core Expenses per FTE undergraduate student and the institution's eligible designation is otherwise consistent with the purposes of the Title III or Title V program.

1. Provide documentation from a governmental source to substantiate the high cost of living in the area.
2. Provide documentation (statistics) from local, state and/or national sources.
  - a. Include comparisons with similar IHEs.

### **Core Expenses Waiver Option #3, 34 CFR 606.4(d)(3) and 607.4(d)(3)**

**High energy costs** distorted your institution's Core Expenses per FTE undergraduate student and the institution's eligible designation is otherwise consistent with the purposes of the Title III or Title V program.

1. Provide documentation to substantiate the high energy costs.
  - a. Provide comparisons with similar IHEs.

### **Core Expenses Waiver Option #4, 34 CFR 606.4(d)(4) and 607.4(d)(4)**

An increase in State funding, that was part of a desegregation plan for higher education, distorted your institution's Core Expenses per FTE undergraduate student and the institution's eligible designation is otherwise consistent with the purposes of the Title III or Title V program.

1. Provide documentation to substantiate your request.

### **Core Expenses Waiver Option #5, 34 CFR 606.4(d)(5) and 607.4(d)(5)**

**Operation of high cost professional schools** such as medical and dental schools (post baccalaureate programs) distorted your institution's E&G expenditures per FTE



undergraduate student, and the institution's eligible designation is otherwise consistent with the purposes of the Title III or Title V program.

1. Provide documentation to substantiate your request.
  - a. Include enrollment and cost comparisons with similar IHEs.

## **PART V. CERTIFICATION**

A duly authorized representative of the institution must check the box in Part V to certify that to the best of his or her knowledge that all data in the application are true and correct and that the applicant institution will comply with the required assurances. By checking this box and submitting this application, the applicant institution certifies that they meet the accrediting requirements, are licensed by the State to award associate, baccalaureate or post-baccalaureate degrees, and, if applicable, meet the definition of a branch campus.